

CHAPTER 8

ARTICLE 9—CASELOAD MANAGEMENT

Revised September 15, 2000

81090.1 Policy

The CDC shall ensure caseload records are updated in a timely manner, accurate, readily available, and maintained in a manner that permits retrieval of information and statistical data by authorized personnel.

81090.2 Purpose

This procedure establishes guidelines for uniform interpretation, application, and administration of caseload management plans.

81090.3 Transfer and Correction Notice Policy

Cases Under California Supervision Including Co-ops

A CDC Form 1233, Transfer Investigation Request/Travel Permit/OBIS Notification, shall be prepared for Inter-unit transfers, and for changes in county of residence, with or without a change in Parole Agent.

Upon receipt of a CDC Form 161, Warden's Checkout Order, the information shall be compared with information in the parole unit database. A revised CDC Form 1233 shall be forwarded to regional records if corrections are required.

Custody Cases

A CDC Form 1233 shall not be used to transfer cases in local custody. Transfer of these cases, if necessary, shall occur after the parolee's release from custody. A CDC Form 1233 shall be used at that time.

Transfer to Interstate Unit

Upon parolee's transfer to the Interstate Unit, the CDC Form 1233-A, Interstate Compact Form 1, Transfer Investigation, Request/Travel Permit, shall show the new state of residence. If the parolee later transfers to another state (e.g., Utah to Colorado), a new CDC Form 1233-A shall be prepared, noting the new state of residence. If the case returns to California, the CDC Form 1233-A shall show the parole unit and new county of residence.

Deportation Cases

If a parolee is deported but not discharged by the BPT, the case shall be transferred to the appropriate Regional United States Immigration and Naturalization Service Unit utilizing a CDC Form 1233.

81090.4 Caseload Count Policy

A case shall be included on the active count as of:

- The date the CDC Form 611-C, Civil Addict Release Program Study, reaches the unit office.
- The date that a felon parolee, civil addict parolee, or releasee is released from a CDC institution/facility following a period of revocation, new commitment, commitment to CRC, or a 90-day diagnostic study.
 - A releasee or civil addict parolee ordered returned for limited placement remains on the active count.
 - A parolee (on nonsuspended status) ordered returned to custody by the BPT for placement in a Substance Abuse Treatment Control or Substance Abuse Treatment Unit shall remain on active count.
- The date the suspended PAL, civil addict parolee, or suspended Releasee-at-Large releasee is located in California.
 - PALs that are deemed High Control shall remain on the active count for the entire time they are at large.
- The date the suspended felon, civil addict parolee, or releasee was located outside of California is ordered reinstated or continued on parole.
- The date the case file is received on transfer. (If a transfer occurs after the 25th of any month, it shall be dated effective the first of following month.)
- The date noted on CDC Form 1538, Interstate Cooperative Case Opening/Closing Notice, as the opening date.

- The date a PAL who is arrested out-of-state waives extradition and is available to California.

Cases shall be taken off the count as of:

- The date the felon, civil addict parolee, or releasee is returned to a CDC institution/facility to serve a revocation term, 90-day diagnostic study, commitment to CRC, or a new commitment.
- The effective date of discharge.
- The date of BPT's or NAEA's action to suspend a felon parolee, releasee, or civil addict parolee on outpatient status.
- The date on a death certificate indicating a parolee, releasee, or civil addict parolee's date of death.
- The date of transfer as listed on the CDC Form 1233. (If a transfer occurs after the 25th of any month, the effective date is the first of the following month.)
- The date noted on a CDC Form 1538 as the closing date.
- The date the Minute Order was issued by the court of commitment on discharge and field exclusion cases.

81090.5 Caseload Roster Policy

Each field Parole Agent shall maintain a current roster of all assigned cases on a Caseload Roster. The roster shall be submitted to the unit supervisor for review by the last working day of each month. All rosters shall include:

- Preparole inmates' or parolees' names and CDC identification numbers.
- Supervision category and point value assigned to each case.
- Compliance with case contact and supervision and other case requirements.
- Additional information as required by unit supervisor (e.g., case contact dates, testing dates, employment status, custody status etc.).

81090.5.1 Caseload Roster Procedures

Parole Agent

Maintains current caseload roster of all assigned cases.

(Last Working Day of Month)

Reviews caseload roster for accuracy and submits roster to unit supervisor for review.

81090.6 Field File Policy

All case material shall be filed chronologically in the Field File with the current material on top. Filing shall be two sided with materials distributed as follows:

Left Side of Folder (Bottom to Top)

- Photo packet (taped to back cover).
- CDC Form 1515, Notice and Conditions of Parole.
- Any special instructions.
- Initial Interview/Transfer Form.
- Memoranda.
- Other letters regarding parolee.
- Monthly Report Forms.
- Referral and transfer material.
- Registration Form.
- Record of Supervision materials.
- Testing Records.
- Referral Forms.
- Other current miscellaneous.

Right Side of Folder (Bottom to Top)

- Confidential Folder shall be attached to the inside back cover of file. For additional information refer to DOM §§ 86050.2 and 86080.9.
- CDC Forms 174, Probation Officer Report.
- CDC Forms 188, Legal Status Summary.
- Reentry materials. (Chronos, summaries, case conferences, CDC Forms 115, Report of Rules Violation.)
- CDC Forms 611, Release Program Study.
- Board Reports.
- Activity Reports.
- POC Evaluations.
- P&CSD actions.
- Official Board Minutes.
- CDC Form 1244, Parole Violation Dispositions (including BPT).
- Any other legal forms.

81090.7 Discharged Parolee Face Sheet Retention Policy/Procedures**Policy**

The Face Sheet of a discharged parolee shall be retained in a unit office file for a minimum period of one year.

Parole Agent Procedures

Attaches most current picture of parolee to the Face Sheet.

Reviews the Face Sheet to ensure the following information is included:

- Last known address.
- Last place of employment.
- All collateral sources with addresses and phone numbers.
- CI&I.
- FBI, Social Security, and driver license number.
- Registration requirement(s) and date(s) of compliance.
- Special condition(s) of parole (if applicable).
- Description and license plate number of parolee's current automobile.

81090.8 Field File Disposition Policy

When a case is closed by reason of discharge or death, the Field File shall be retained for 120 days and then destroyed by burning or shredding. Field Files for parolees returned with a new commitment shall be destroyed after the face sheet and activity report (Closing Summary) have been removed. The Closing Summary shall be forwarded to regional records.

81090.9 Parole Agent Field Book Policy

The Parole Agent shall maintain a Face Sheet and CDC Form 1650-D, Record of Supervision (P&CSD), for each assigned felon and civil addict case. Information contained in these records shall be current and legible.

Parole Agents shall record the following information on the CDC Form 1650-D:

- Name of the person contacted.
- Location of contact.
- Date (including year).
- Beginning and ending time of contact.
- Signature or initials at the end of the entry.

Recording this information as well as other essential case information is important as Parole Agents are called upon to testify in court as well as to appear routinely at revocation hearings. This information is also vital as an operational and safety tool in planning field contacts.

81090.9.1 Parole Agent Field Book Procedures (upon receipt of preparole referral)**Clerical Staff**

Obtains accurate and current information from the preparole packet and enters it into the database. Prints out Face Sheet from parole unit database.

Parole Agent (At Time of Initial Interview)

Attaches current photographs to the Face Sheet.

Updates the Face Sheet information as needed.

Completes CDC Form 1650-D.

81090.10 Revisions

The Deputy Director, P&CSD, or his/her designee shall be responsible for ensuring that the contents of this section are kept current and accurate.

81090.11 References

BPT Rules.

DOM §§ 84100, 84110, 86050, and 86080.